FEB 16 700 PE

PTO/SB/21 (09-04)

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	Application Number	10/016,244	•

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Filing Date October 30, 2001

First Named Inventor Guillermo J. Tearney

Art Unit 3737

Examiner Name Ruth S. Smith

Attorney Docket Number 186599/US/2 - 475387-00153

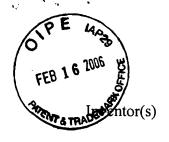
Total Nu	mber of Pages in This Submission		186599/US	6/2 - 475387-00153
		ENCLOSURES (Check a	ll that apply)
Am Ext Ext Or Info	Fee Attached Fee Attached The After Final After Final Affidavits/declaration(s) The Request press Abandonment Request	Drawing(s) Licensing-related Papers Petition Petition to Convert to a Provisional Application Power of Attorney, Revocate Change of Correspondence Terminal Disclaimer Request for Refund CD, Number of CD(s) Landscape Table on C	Address	After Allowance Communication to TC Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Other Enclosure(s) (please Identify below): PTO-1449 form and Return Receipt Postcard
		TURE OF APPLICANT, ATT	ORNEY, C	DR AGENT
Firm Name	Dorsey & Whitney, L.L.P.	÷.	·+:	कें। क
Signature				* 4
Printed nar	Gary Abelev, Esq.			
Date	February 13, 2006		Reg. No.	Reg. No. 40,479

CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: Signature Typed or printed name Gary Abelev, Esq. Date February 13, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Effective on 12/08/04	Τ		Complete in	f Known	
	Applicati	ion No.	10/016,24		
OF	Filing Da		October 3		
6 FEE TRANSMITTAL SHEET	First Inve			J. Tearney	
(FY 2005)			3737	J. reamey	
FEB 1 6 2006 B	Group A				
<u></u>	Examine		Ruth S. S.		
Applicant paims small entity status (see 37 C.F.R. 1.27)	Atty. Doc	ket Numb	per 186599/U	S/2 – 475387-0015	3
METHOD OF PAYMENT (Check One)	<u> </u>	FI	EE CALCULATIO	N (Continued)	
☐ Check ☐ Credit Card ☐ Money Order ☐ Deposit Account No.: 50-2054 Deposit Account Name: DORSEY & WHITNEY LLP For the above-identified deposit account, the Director is hereby	Large Entity Fee	Small Entity Fee	3. ADDITION	NAL FEES	Fee paid
authorized to: (check all that apply) Charge any additional fees or underpayments of fee(s) under	50	25	Surcharge - late p	rovisional filing fee or	
37 C.F.R. 1.16 and 1.17 ☑ Credit any overpayments	130	65		nonprovisional filing	
Other (please identify):	180	180	Submission of IDS	3	180
Extra Claim Fees	40	40		atent assignment per	
Current Claims Prior Extra Fee Fee Paid	120	60		mber of properties) www.within first month	
Total = x \$ = \$	450	225	•	y within second month	
Ind x \$ = \$ Multiple Dependent Claims x \$ = \$	1,020	510	•	y within third month	
Subtotal (Extra Claims) \$	1,590	795		y within fourth month	
	2,160		•		
Petition Fee Under 37 CFR 1.17(f), (g), & (h)	_ `	1,080	·	y within fifth month	
Enclosed is a Petition filed under 37 CFR as indicated below:	790	395	Submission After	Final 1.129	
Petition Fee under 37 CFR 1.17(f) Fee \$400 § 1.53(e) to accord a filing date.	500	250	Notice of Appeal		
§ 1.57(a) to accord a filing date. § 1.182 for decision on a question not provided for.	500	250	•	pport of an appeal	
§ 1.183 to suspend the rules.	1,000	500	Request for oral h	J	
§ 1.378(e) for reconsideration of decision on petition refusing delayed payment of maintenance fee in expired patent.	130	65	Terminal Disclaim	ier Fee	
§ 1.174(b) to accord a filing date to an application under §1.740 for extension of patent term.	800	400	Design Issue Fee		
Petition Fee under 37 CFR 1.17(g) Fee \$200 for access to an assignment record.	790	395	(RCE)	nued Examination tary publication or	
§ 1.14 for access to an application.	130		republication	tary publication of	
§ 1.47 for filing by other than all inventors or person not the inventor. § 1.59 for expungement of information.	500	250	Petition to Revive	unavoidable	
§ 1.103(a) to suspend action in an application. § 1.136(b) for review of a request for ext. of time when §1.136(a) not avail.	1,500	750	Petition to Revive	- unintentional	
§ 1.295 for review of refusal to publish a statutory invention registration.	200		Filing for patent to	erm adjustment	
§ 1.377 for review of decision refusing to accept a maintenance fee filed prior to expiration of a patent.	400		Request for reinst reduced	tatement of term	
§ 1.550(c) for request for ext. of time in <u>ex parte</u> reexam. proceedings. § 1.956 for request for ext. of time in <u>ex parte</u> reexam. proceedings. § 5.12 for expedited handling of foreign filing license. § 5.15 for changing the scope of a license.	1,120 OTHER (specify)		Extension of term	of patent	
§ 1.5.25 for retroactive license.	1 "		Subt	otal (Additional Fees)	
Petition Fee under 37 CFR 1.17(h) § 1.19(g) § 1.84 § 1.91 § 1.02(d) § 1.138(c) § 1.313 § 1.314 Petition Fee under 37 CFR 1.17(h) Fee \$130 to request documents in a form other than provided in this part. for accepting color drawings or photographs. for entry of a model or exhibit. to make an application special. to expressly abandon an application to avoid publication. to withdraw an application from issue. § 1.314 to defer issuance of a patent.			Total Ame	ount of Payment:	\$ 180
Submitted by:					
CUSTOMER NUMBER DORSEY & WHITNEY LLP	250	0 Park A	venue		
30873	Ne ⁻	w York,	NY 10177		
Name: Gary Abelev, Esq.	Pho	ne No.: 2	12-415-9371	Fax No.: 212-953-	7201
Signature:	Reg	. No.: 40	,479	Date: February 13	3, 2006
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

: Guillermo J. Tearney et al.

Serial No.

:

10/016,244

Filed

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:

October 30, 2001

Entitled

OPTICAL METHODS AND SYSTEMS FOR TISSUE

ANALYSIS

Group Art Unit

3737

Examiner

Ruth S. Smith

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. § 1.97(c)

Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 I hereby certify that this document is being sent via First Class U. S. mail addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on this day of February 13, 2006.

(Signature)

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(i), applicant brings to the attention of the Examiner the documents listed on the attached Form PTO 1449, and respectfully request that the listed documents be considered by the Examiner and made of record in the above-captioned application. Copies of the United States patent references listed on the Form PTO-1449 are not enclosed, but the PCT/foreign/non-patent references are enclosed.

If the Examiner applies the documents as prior art against any claim in the application and applicant determines that the cited documents do not constitute "prior art" under United States law, applicant reserves the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

186599/US/2 - 475387-00153

If the Examiner applies the documents as prior art against any claim in the application and applicant determine that the cited documents do not constitute "prior art" under United States law, applicant reserves the right to present to the Office the relevant facts and law

regarding the appropriate status of the documents.

The requisite fee of \$180.00 pursuant to these sections and 37 C.F.R. § 1.17(p) is enclosed herewith, since the Patent Office has issued an Office Action on the merits, but before the Final Office Action or Notice of Allowance. The Commissioner is hereby further authorized to charge any deficiencies and credit any over payments for the submission of this Information Disclosure Statement to the Dorsey & Whitney's Deposit Account 50-2054.

Respectfully submitted,

DORSEY & WHITNEY, LLP

Gary Abelev

PTO Reg. No. 40,479 Attorneys for Applicants

(212) 415-9371

4852-4111-6160\1

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Form PTO-14	49 U.S. I	epartment o	of Commerce
(REV. 2-82)	Patent a	nd Trademai	rk Office

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Atty. Docket No.

Serial No. 10/016,244

186599/US/2 - 475387-00153

Applicant(s)

Guillermo J. Tearney et al.

Filing Date October 30, 2001

Group 3737

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U.S. PATENT DOCUMENTS

*Exam. Init.			Docun	nent N	0.			Date	Name	Cla	Subclass	Filing Date if Appropriate
	2	3	3	9	7	5	4	January 25, 1944	P.H. Brace			
	4	6	0	1	0	3	6	July 15, 1986	Faxvog et al			
	4	6	3	1	4	9	8	December 23, 1986	Cutler			
	4	8	6	8	8	3	4	September 19, 1989	Fox et al			
	4	9	2	5	3	0	2	May 15, 1990	Cutler			
	4	9	6	5	4	4	1	October 23, 1990	Picard			
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	5	0	4	0	8	8	9	August 20, 1991	Keane			
	5	0	4	6	5	0	1	September 10, 1991	Crilly			
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	5	3	1	7	3	8	9	May 31, 1994	Hochberg et al			
	5	3	2	1	5	0	1	June 14, 1994	Swanson et al			
	5	3	5	3	7	9	0	October 11, 1994	Jacques et al			
	5	3	8	3	4	6	7	January 24, 1995	Auer et al			
-	5	4	1	9	3	2	3	May 30, 1995	Kittrell et al			
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	5	4	4	1	0	5	3	August 15, 1995	Lodder et al			
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	5	4	6	5	1	4	7	November 7, 1995	Swanson			
	5	4	8	6	7	0	1	January 23, 1996	Norton et al			
	5	4	9	1	5	5	2	February 13, 1996	Kittrell			
	5	5	6	2	1	0	0	October 8, 1996	Ķittrell et al			

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^{*} Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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(REV. 2-82)	Patent :	and Trademark Office

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Atty. Docket No.

Serial No. 10/016,244

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Applicant(s)

Guillermo J. Tearney et al.

Filing Date October 30, 2001

Group 3737

5	5	8	3	3	4	2	December 10, 1996	Koji Ichie			
5	5	9	0	6	6	0	January 7, 1997	MacAulay et al	-		
5	6	0	1	0	8	7	February 11, 1997	Richards-Kortum et al			
5	6	9	7	3	7	3	December 16, 1997	Gunderson et al			
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5	7	9	5	2	9	5	August 18, 1998	Hellmuth et al			<u> </u>
5	8	0	3	0	8	2	September 8, 1998	Stapleton et al			
5	8	4	0	0	2	3	November 24, 1998	Oraevsky et al			
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 5	9	6	8	0	6	4	October 19, 1999	Selmon et al		-	
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6	1	1	1	6	4	5	August 29, 2000	Tearney et al			

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Atty. Docket No.

Serial No. 10/016,244

186599/US/2 - 475387-00153

Applicant(s)

Guillermo J. Tearney et al.

Filing Date Group October 30, 2001 3737

		6	1	1 .	7	l i	2	8	September 12, 2000	Kenton W. Gregory	
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		6	1	2	0	5	1	6	September 19, 2000	Selmon et al	
		6	1	3	4	0	0	3	October 17, 2000	Tearney et al	
		6	1	4	1	5	7	7	October 31, 2000	Rolland et al	
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		6	1	5	9	4	4	5	December 12, 2000	Klaveness et al	
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		6	1	6	1	0	3	1	December 12, 2000	Hochmann et al	
		6	1	7	5	6	6	9	January 16, 2001	Colston et al	
		6	1	8	5	2	7	1	February 6, 2001	Richard Estyn Kinsinger	
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		6	2	0	1	9	8	9	March 13, 2001	Whitehead et al.	
	-	6	2	0	8	8	8	7	March 27, 2001	Richard H. Clarke	
		6	2	8	2	0	1	1	August 28, 2001	Tearney et al	
-		6	3	4	1	0	3	6	January 22, 2002	Tearney et al	
		6	3	7	7	3	4	9	April 23, 2002	Adolf Friedrich Fercher	
		6	4	2	1	ī	6	4	July 16, 2002	Tearney et al	
		6	4	8	5	4	1	3	November 26, 2002	Boppart et al	
		6	4	8	5	4	8	2	November 26, 2002	W. Martin Belef	
		6	5	0	1	5	5	1	December 31, 2002	Tearney et al	
	-	6	5	5	2	7	9	6	April 22, 2003	Magnin et al	
		6	5	6	4	0	8	7	May 13, 2003	Pitris et al	
		6	6	2	2	7	3	2	September 23, 2003	Brent R. Constantz	
		6	6	8	5	8	8	5	February 3, 2004	Nolte et al.	
		6	6	8	7	0	0	7	February 3, 2004	Meigs	
		6	8	0	6	9	6	3	October 19, 2004	Wälti et al.	

Examiner

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Form PTO-14	9 U.S. Department of Commer	rce
(REV. 2-82)	Patent and Trademark Office	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Atty. Docket No.

Serial No. 10/016,244

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Applicant(s)

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2002	0	1	6	1	3	5	7	October 31, 2002	Rox et al.		
2002	0	i	6	3	6	2	2	November 7, 2002	Magnin et al.		
2003	0	0	2	3	1	5	3	January 30, 2003	Izatt et al		
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	6	3	9	3	3	1	2	May 21, 2002	Hoyns		
	6	3	9	4	9	6	4	May 28, 2002	Sievert, Jr. et al.		
 -	6	4	4	5	9	4	4	September 3, 2002	Ostrovsky		
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 	5	9	2	0	3	9	0	July 6, 1999	Farahi et al.		
	4	9	2	8	0	0	5	May 22, 1990	Lefèvre et al.		
	5	2	0	2	7	4	5	April 13, 1993	Sorin et al.		
 	5	5	6	5	9	8	6	October 15, 1996	Knüttel		
	5	8	4	7	8	2	7	December 8, 1998	Fercher		
	5	8	7	7	8	5	6	March 2, 1999	Fercher		
	5	9	2	0	3	7	3	July 6, 1999	Bille		
 · · · ·	5	9	9	1	6	9	7	November 23, 1999	Nelson et al.		
	6	2	0	8	4	1	5	March 27, 2001	De Boer et al.	 	
	6	5	4	9	8	0	1	April 15, 2003	Chen et al.		
 2002	0	1	9	6	4	4	6	December 26, 2002	Roth et al.		

Examiner

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Page 5 of 60 Form PTO-1449 U.S. Department of Commerce Atty. Docket No. Serial No. (REV. 2-82) Patent and Trademark Office 10/016,244 186599/US/2 - 475387-INFORMATION DISCLOSURE STATEMENT **BY APPLICANT** (Use several sheets if necessary) Applicant(s) Guillermo J. Tearney et al. Filing Date Group October 30, 2001 December 26, 2002 Tearney et al. February 13, 1996 Hellmuth et al. January 20, 2004 Fee July 17, 2003 Webler April 22, 1997 Raab et al. November 16, 1993 Maguire December 27, 2005 de Boer December 26, 2000 Mao October 22, 2002 Ebizuka et al. July 7, 1992 Brelie et al. September 28, 1993 Kerstens et al. April 19, 1994 Amos September 12, 1995 Penkethman October 17, 1995 Hueton et al. June 11, 1996 Hasman et al. February 4, 1997 Gal et al. December 16, 1997 Zarling et al. July 28, 1998 Kuhn et al. March 23, 1999 Mandella et al. FOREIGN PATENT DOCUMENT **Translator** Document No. Date Country Class SubClass Yes No September 22, 1994 Germany May 4, 1989 Great Britain June 13, 1984 European January 7, 1988 European November 12, 1992 WIPO

Examiner Date Considered

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Page 6 of 60 Form PTO-1449 U.S. Department of Commerce Atty. Docket No. Serial No. (REV. 2-82) Patent and Trademark Office 10/016,244 186599/US/2 - 475387-INFORMATION DISCLOSURE STATEMENT 00153 BY APPLICANT (Use several sheets if necessary) Applicant(s) Guillermo J. Tearney et al. Filing Date Group October 30, 2001 3737 March 4, 1993 WIPO 0 7 3 2 1 8 2 September 4, 1997 WIPO 8 3 0 5 2 3 August 13, 1998 WIPO 9 9 9 4 4 0 8 September 2, 1999 WIPO 9 9 7 WIPO 5 7 5 0 November 11, 1999 0 0 5 8 7 6 6 October 5, 2000 WIPO 5 June 14, 2001 WIPO 1 4 2 7 3 2 7 0 2 5 4 0 July 11, 2002 WIPO 0 3 0 2 0 1 1 9 March 13, 2003 WIPO 0 1 3 8 8 2 0 May 31, 2001 WIPO* 0 4 5 1 0 5 9 8 December 9, 2004 WIPO * U.S. equivalent is provided. OTHER DOCUMENTS (including Author, Title Date, Pertinent Pages, Etc.) Fujimoto et al., "High Resolution in Vivo Intra-Arterial Imaging with Optical Coherence Tomography," Official Journal of the British Cardiac Society, Vol. 82, pages 128-133 Heart, 1999 D. Huang et al., "Optical Coherence Tomography," SCIENCE, Vol. 254, pages 1178-1181, November 1991 Tearney et al., "High-Speed Phase –and Group Delay Scanning with a Grating Based Phase Control Delay Line," Optics Letters, Vol. 22, Pages 1811-1813, December 1997 Rollins, et al., "In Vivo Video Rate Optical Coherence Tomography," Optics Express, Vol. 3, pages 219-229, September 1998 Saxer, et al., High Speed Fiber-Based Polarization-Sensitive Optical Coherence Tomography of in Vivo Human Skin," Optical Society of America, Vol. 25, pages 1355-1357, September 2000 Oscar Eduardo Martinez, "3000 Times Grating Compress or with Positive Group Velocity Dispersion," IEEE, Vol. QE-23, pages 59-64, January 1987

Date Considered

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